


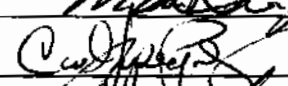
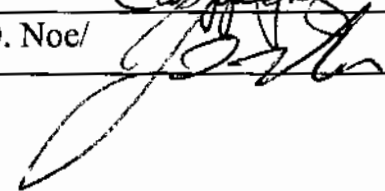
EM Facility Representative Group Operating Manual

Chapter: **FR-OM-08**

Title: **Occurrence Reporting**

Issue Date: 10/01/03

Revision: 01

	Name/Signature	Date
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1.0 PURPOSE

To establish guidelines for Facility Representative activities related to the reporting and approval of Occurrence Reports. These guidelines apply to all EM Facility Representatives.

2.0 REFERENCES

- 2.1 DOE Order 231.1A, Environment Safety and Health Reporting
- 2.2 DOE Manual 231.1-2 Occurrence Reporting and Processing of Operations Information
- 2.3 DOE Manual 231.1-1A, Environment Safety and Health Reporting Manual
- 2.4 DOE Guide 231.1-1, Occurrence Reporting and Performance Analysis Guide
- 2.5 DOE Guide 231.1-2, Occurrence Reporting Causal Analysis Guide
- 2.6 ORO Order 230, Chapter IV, Occurrence Reporting and Processing of Operations Information

3.0 REQUIREMENTS

- 3.1 Facility Representatives are responsible for performing those duties identified in the reference documents listed above.
- 3.2 Facility Representatives shall be available at all times during their normal workday, and are encouraged to be available during non-work hours, to receive notification of occurrences at their assigned facilities/projects.
- 3.3 Facility Representatives shall ensure that appropriate line management is made aware of occurrence related to their facilities as soon as reasonably possible.
- 3.4 Facility Representatives should attend occurrence critiques if possible.

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- 3.5 When a notification or update report is submitted by the contractor to the Occurrence Reporting and Processing System (ORPS), the cognizant Facility Representative should review it for accuracy and appropriate completeness.
- 3.6 When the contractor submits a final occurrence report into ORPS, the cognizant Facility Representative shall review the report to verify that the occurrence has been adequately described, the applicable causes have been identified, corrective actions have been identified and scheduled, and that lessons learned are identified. It is recommended that Facility Representatives document this review with the checklist in Attachment 1 to this chapter.
- 3.7 Facility Representatives shall complete their review and approval or rejection of the final occurrence report within 10 calendar days of receipt in ORPS.
- 3.8 Facility Representatives qualified for the facility/project they are assigned are authorized to review, reject, and approve Occurrence Reports related to these facilities/projects. However Facility Representatives in training must follow the direction listed below unless written approval is granted to do otherwise.
 - 3.8.1 For Facility Representatives in training they should conduct a review of the Off-Normal occurrence report for their assigned facility/project then provide their comments to a fully qualified Facility Representative who will then be responsible for the final review and approval.
 - 3.8.2 This review process must be completed in an expedient manner so as to not hold up the report from its normal routing process.
- 3.9 When a Facility Representative is out on extended leave due to personal or family issues an alternate Facility Representative shall be designated to review their reports and act in their place until they return.
 - 3.9.1 Upon return to duty the Facility Representative should be brought up to date with the Occurrences that transpired and were resolved as well as any active and open Occurrences.

4.0 RESPONSIBILITIES

4.1 Facility Representatives Team Leader

- 4.1.1 Assign a Facility Representative to fill in for Facility Representatives that are on extended leave.
- 4.1.2 Monitor performance to ensure that Facility Representatives review and approve or reject occurrence reports in a timely manner.

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- 4.1.3 Ensure that a fully qualified Facility Representatives are available to review and approve occurrence reports at the recommendation of a Facility Representative in training.

4.2 Facility Representatives

- 4.2.1 Perform those duties identified in the referenced Orders, Manuals, and Guides in this procedure.
- 4.2.2 Be available at all times during their normal workday to receive notification of occurrences at their facilities.
- 4.2.3 Review occurrence reports to verify that the occurrence has been adequately described, the applicable causes have been identified, corrective actions have been identified and scheduled, and that lessons learned are identified.
- 4.2.4 Complete the review and approval or rejection of final occurrence report within 10 calendar days of receipt in ORPS.

5.0 DEFINITIONS

- 5.1 None

6.0 ATTACHMENTS

- 6.1 Attachment "A" Final Occurrence Report Checklist

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ATTACHMENT "A"

FINAL OCCURRENCE REPORT CHECKLIST

Occurrence Report Number: _____

Does the description of the occurrence contain all of the following:

- | | | | | | | | |
|-----|---|-----|---|-----|-----|-----|---|
| 1. | Y | ___ | N | ___ | N/A | ___ | A clear, factual, logical flow of information. |
| 2. | Y | ___ | N | ___ | N/A | ___ | Explanation of abbreviations, acronyms, and site specific terms. |
| 3. | Y | ___ | N | ___ | N/A | ___ | Detail provided graded to reflect the relative importance of the incident. |
| 4. | Y | ___ | N | ___ | N/A | ___ | Method of discovery and, if appropriate, the sequence of events to show the logical progression of the occurrence. |
| 5. | Y | ___ | N | ___ | N/A | ___ | Any personnel errors involved or procedure problems encountered. |
| 6. | Y | ___ | N | ___ | N/A | ___ | Response of safety systems and signals identified and any loss of safety equipment. |
| 7. | Y | ___ | N | ___ | N/A | ___ | Operation actions that affected the course of the event. |
| 8. | Y | ___ | N | ___ | N/A | ___ | Any component failure, failure modes, and duration of any failures. |
| 9. | Y | ___ | N | ___ | N/A | ___ | Equipment properly identified with the manufacturer, model number, size, etc. |
| 10. | Y | ___ | N | ___ | N/A | ___ | Appropriate photos, sketches, or drawings attached. |
| 11. | Y | ___ | N | ___ | N/A | ___ | A brief description of the function / purpose of the facility |
| 12. | Y | ___ | N | ___ | N/A | ___ | For the description of cause, is there a logical relationship to the description of the occurrence? |
| 13. | Y | ___ | N | ___ | N/A | ___ | Do the Direct, Contributing, and Root Cause refer to the basic underlying conditions |
| 14. | Y | ___ | N | ___ | N/A | ___ | Is there a logical relationship between the cause codes and the Description of Cause? |
| 15. | Y | ___ | N | ___ | N/A | ___ | Is the method used for the root cause analysis identified? |
| 16. | Y | ___ | N | ___ | N/A | ___ | Do the corrective actions address the causes identified? |
| 17. | Y | ___ | N | ___ | N/A | ___ | Can the corrective actions be accomplished? |
| 18. | Y | ___ | N | ___ | N/A | ___ | Are the corrective actions scheduled to be completed in a reasonable time frame? |
| 19. | Y | ___ | N | ___ | N/A | ___ | Are the corrective actions scheduled to be completed in a reasonable time frame? |
| 20. | Y | ___ | N | ___ | N/A | ___ | After reading the complete report would someone unfamiliar with your processes and systems understand what happened, including the significance, the cause, and the corrective actions? |

Comments:
